

**Safety Attribute Inspection (SAI) Data Collection Tool**  
**1.3.6 Airworthiness Directives and Maintenance Record Requirements (AW)**  
**Revision#:3 Revision Date:09/15/2009**

**ELEMENT SUMMARY INFORMATION**

**Scope of Element:**

**Purpose** (operator's responsibility): To establish a process that ensures compliance with Airworthiness Directives and Maintenance Recording Requirements.

**Objective** (FAA oversight responsibility): To determine if the operator's Airworthiness Directives and Maintenance Recording Requirements:

- Meet all applicable requirements of Title 14 of the Code of the Federal Regulations (14 CFR) and FAA policies,
- Incorporates the safety attributes, and
- Identifies any shortfalls in the operator's Airworthiness Directives and Maintenance Recording Requirements.

**Specific Instructions:**

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**SUPPLEMENTAL INFORMATION**

**Regulatory Requirements:**

A.447, Operations Specifications  
39.17, What must I do if a change in a product affects my ability to accomplish the actions required in an airworthiness directive  
39.19, May I address the unsafe condition in a way other than that set out in the airworthiness directive  
39.27, What do I do if the airworthiness directive conflicts with the service document on which it is based  
119.43, Certificate holder's duty to maintain operations specifications.  
121.135, Manual contents  
121.373, Continuing analysis and surveillance.  
121.380, Maintenance recording requirements.

**Related CFRs & FAA Policy/Guidance:**

**Related CFRs:**

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**FAA Policy/Guidance:**

FAA Order 8900.1, Volume 3, Chapter 31, Section 5  
AC 39-7C, Airworthiness Directives  
AC 120-16E, Air Carrier Maintenance Programs

**SAI SECTION 1 - PROCEDURES ATTRIBUTE****Objective:**

The questions in this section of the SAI will help verify that the operator's documented procedures identify who, what, when, where, and how those procedures are accomplished. These procedures must allow all personnel to perform their duties and responsibilities with a high degree of safety. 14 CFR part 121.135(a)(1)

**Tasks**

	The inspector shall accomplish the following tasks:
1	Review the information in the Supplemental Information section of this SAI.
2	Review the duties and responsibilities for management and other personnel who accomplish the processes associated with this element.
3	Review the documentation of the processes associated with this element.

**Questions**

1.1	<p>Do procedures require that records are kept for the total time in service for airframes, engines, and if applicable propellers?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(a)(2)(i); 121.380(a)(2)(ii) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2	<p>Do procedures require that records contain the current status of life-limited parts for airframes, engines, appliances, and if applicable propellers?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(a)(2)(iii) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3	<p>For all items installed on aircraft that are required to be overhauled on a specified time basis, do procedures exist to record the time since their last overhaul?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(a)(2)(iv) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.4	<p>Do procedures require overhaul records be retained until the work is superseded by work of equivalent scope and detail?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(c)(2) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.5	<p>Do procedures require records identifying the current inspection status of each aircraft, including the times since the last inspections required by the inspection program?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(a)(2)(v)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	Kind Of Question: Flag, Supplemental, Domestic	
1.6	<p>Do the AD management procedures record:</p> <ul style="list-style-type: none"> <li>• Specific time, date and methods of compliance for each applicable airworthiness directive,</li> <li>• When the next action is required, if the airworthiness directive involves recurring action?</li> </ul> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(a)(2)(vi) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.7	<p>When an alternate method of compliance (AMOC) is approved by the manager identified in the airworthiness directive, do procedures require personnel to use the AMOC?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 39.19 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.8	<p>In cases where an airworthiness directive references a manufacturer's modified service document, do procedures require personnel to follow the requirements of the airworthiness directive?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 39.27 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.9	<p>If a change in a product affects the operator's ability to perform the actions required by an airworthiness directive, do procedures require:</p> <ul style="list-style-type: none"> <li>• A request for FAA approval of an AMOC,</li> <li>• The proposed AMOC or change in compliance time includes specific actions proposed by the certificate holder to address the unsafe condition,</li> <li>• The proposed AMOC be submitted as required by 39.19?</li> </ul> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 39.17; 39.19 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that the operator's manual contains instructions and information necessary to allow personnel concerned to perform the duty and responsibility, when requesting an alternate method of compliance (AMOC), to submit the request to the assigned Principal Inspector, who may add comments and will send the request to the manager of the office identified in the airworthiness directive. (JTI ID: 10) Sources: 121.135(a)(1); 39.19</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.10	<p>Do procedures for notification of emergency airworthiness directives require:</p> <ul style="list-style-type: none"> <li>• Keeping operations specifications paragraph A447 current,</li> </ul>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<ul style="list-style-type: none"> <li>Applying for an amendment to operations specifications paragraph A447 when the information in table b(1) or b(2) changes?</li> </ul> <p>Updated: Rev # 3 on 09/15/2009 SRRs: A.447 Kind Of Question: Flag, Supplemental, Domestic</p>	
1.11	<p>Do procedures require immediate and comprehensive confirmation of receipt of an Emergency Airworthiness Directive (EAD)?</p> <p><b>Note(s):</b> <i>Confirming receipt of an EAD requires:</i></p> <ul style="list-style-type: none"> <li><i>Signing the cover page,</i></li> <li><i>Faxing the following information to the Delegation and Airworthiness Programs Branch (AIR-140) or the Directorate issuing the EAD</i> <ul style="list-style-type: none"> <li><i>Name of the operator,</i></li> <li><i>Name of person sending the reply,</i></li> <li><i>Operator's four-letter designator,</i></li> <li><i>Airworthiness directive number, and</i></li> <li><i>The statement: This message is to confirm receipt of the Emergency Airworthiness Directive referenced above.</i></li> </ul> </li> </ul> <p>Updated: Rev # 3 on 09/15/2009 SRRs: A.447 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.12	<p>Do procedures require records showing that all requirements for the issuance of an airworthiness release under 14 CFR part 121.709 have been met?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(a)(1) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.13	<p>Do procedures require records showing that all requirements for the issuance of an airworthiness release be retained until the work is superseded or for one year after the work is performed?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(c)(1) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.14	<p>Do procedures specify that records required by 14 CFR part 121.380 must be made available for inspection by the Administrator or authorized representative of the NTSB?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.380(d) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.15	<p>Do procedures address the intent of the guidance contained in FAA Order 8900.1, Volume 3, Chapter 31, Section 5?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

	<p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that the operator's instructions and information regarding content of the current status of an AD record includes identification of the particular airframe, engine, propeller, appliance, or component to which the AD is applicable. (JTI ID: 37) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 5</li> <li>2. Check that the operator's instructions and information regarding content of the current status of an AD record includes the airworthiness directive number (and/or regulatory amendment number). (JTI ID: 38) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 5</li> <li>3. Check that the operator's instructions and information regarding content of the current status of an AD record includes the date, and the time-in-service expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.), when the required action was accomplished. (JTI ID: 39) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 5</li> <li>4. Check that the operator's instructions and information regarding content of the current status of an AD record includes, if the requirement is recurring, the time-in-service when the next action is due expressed in the appropriate measuring parameter (hours, cycles, calendar time, etc.). (JTI ID: 40) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 5</li> <li>5. Check that the operator's instructions and information regarding content of the current status of an AD record requires a concise description of the action taken to comply with the requirements of the airworthiness directive (method of compliance). (JTI ID: 41) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 5</li> <li>6. Check that the operator's instructions and information regarding content of the current status of an AD record, if the airworthiness directive or its referenced manufacturer's service bulletin permits the use of more than one method of compliance, requires a reference to the specific method of compliance used. (JTI ID: 42) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 5</li> <li>7. Check that the operator's instructions and information regarding content of the current status of an AD record, if the operator uses an alternate method of compliance to comply with an airworthiness directive, requires a description of this alternate method of compliance and a copy of the FAA approval. (JTI ID: 43) <i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 31, Section 5</li> </ol>	
1.16	<p>Do procedures address the intent of the guidance contained in AC 39-7C?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that the operator's instructions and information regarding checks performed by pilots as permitted by AD's includes the requirement to follow the specific direction for recording requirements of AD's. (JTI ID: 18) <i>Sources:</i> Advisory Circular 39-7C, Paragraph 13f</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable

1.17	<p>Do procedures address the intent of the guidance contained in AC 120-16E, paragraph 808?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.18	<p>Does the manual include a requirement to comply with the operations specifications related to this element including clearly identified excerpts, references, mandatory compliance requirements, or other information that will keep employees informed of the impact on their duties and responsibilities?</p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 119.43(b); 119.43(c); 121.135(a)(4) Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.19	<p>Does the manual contain policies and procedures that include the duties and responsibilities for personnel involved with this element?</p> <p><b>Note(s):</b>  <i>This includes personnel, in addition to those required by 14 CFR part 119, who have authority and responsibility for processes covered by this element.</i></p> <p>Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(b)(2) Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that the operator's manual contains instructions and information necessary to allow personnel concerned to perform actions specified in an AD. (JTI ID: 4)  <i>Sources:</i> 121.135(a)(1); 39.11</li> <li>2. Check that the operator's manual contains instructions and information necessary to allow personnel concerned to comply with conditions and limitations specified in an AD. (JTI ID: 5)  <i>Sources:</i> 121.135(a)(1); 39.11</li> <li>3. Check that the operator's manual contains information that the office responsible for approving alternative methods of compliance can provide information about alternatives it has already approved. (JTI ID: 15)  <i>Sources:</i> 121.135(b)(26); 39.21</li> <li>4. Check that the operator's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to keep and retain, all records necessary to show that all requirements for the issuance of an airworthiness release under Sec. 121.709 have been met, until the work is repeated or superseded by other work or for one year after the work is performed (using the system specified in the manual required in FAR 121.369). (JTI ID: 22)  <i>Sources:</i> 121.135(a)(1); 121.380(a)(1); 121.380(c)(1)</li> <li>5. Check that the operator's manual contains instructions and information necessary for the personnel concerned to perform the duty and responsibility to transfer with the aircraft at the time the aircraft is sold, records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required. (JTI ID: 23)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	<i>Sources:</i> 121.135(a)(1); 121.380(a)(2)(vi); 121.380(c)(3)	
1.20	<p>Does the manual refer to the appropriate sections of 14 CFR, and are the procedures consistent with the appropriate 14 CFR references or Operating Certificate concerning this element?</p> <p><b>Note(s):</b>  <i>Procedures for Flag and Supplemental operations must be consistent with applicable foreign regulations as well.</i></p> <p>Updated: Rev # 3 on 09/15/2009  SRRs: 121.135(a)(4); 121.135(b)(3)  Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Design JTIs:</i></p> <ol style="list-style-type: none"> <li>1. Check that the operator's manual contains a general policy that it will not operate a product that does not meet the requirements of an AD. (JTI ID: 2)  <i>Sources:</i> 121.135(b)(1); 39.7</li> <li>2. Check that the operator's manual contains a general policy that it will comply with conditions, limitations and inspections that must be carried out and any actions that must be taken to resolve an unsafe condition. (JTI ID: 3)  <i>Sources:</i> 121.135(b)(1); 39.11</li> <li>3. Check that the operator's manual contains a general policy that an airworthiness directive applies to each product identified in the airworthiness directive, even if an individual product has been changed by modifying, altering, or repairing it in the area addressed by the airworthiness directive. (JTI ID: 7)  <i>Sources:</i> 121.135(a)(1); 39.15</li> <li>4. Check that the operator's manual contains a general policy that it may fly its aircraft to a repair facility to do the work required by an airworthiness directive if it has operations specifications giving authority and include a provision that allow them to fly their aircraft to a repair facility to do the work required by an airworthiness directive. (JTI ID: 16)  <i>Sources:</i> 121.135(b)(1); 39.23</li> <li>5. Check that the operator's manual contains a general policy that it will keep (using the system specified in the manual required in FAR 121.369) the records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required. (JTI ID: 19)  <i>Sources:</i> 121.135(b)(1); 121.380(a)(2)(vi)</li> <li>6. Check that the operator's manual contains a general policy that they will make available records containing the current status of applicable airworthiness directives including date, and methods of compliance, and if the AD involves recurrent action, the date and time when the next action is required, available for inspection by the Administrator or any authorized representative of the National Transportation Safety Board (NTSB). (JTI ID: 24)  <i>Sources:</i> 121.135(b)(1); 121.380(a)(2)(vi); 121.380(d)</li> </ol>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.21	Does the manual contain general policies that require compliance with the SRRs?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(b)(1) Kind Of Question: Flag, Supplemental, Domestic	
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<b>SAI SECTION 1 - PROCEDURES ATTRIBUTE</b>	
<b>Drop-Down Menu</b>	
1.	No policy, procedures, instructions, or information specified.
2.	Procedures or instructions and information do not identify who, what, when, where, how.
3.	Policy, procedures, or instructions and information do not comply with CFR.
4.	Policy, procedures, or instructions and information do not comply with FAA policy and guidance.
5.	Policy, procedures, or instructions and information do not comply with other documentation (e.g., manufacturer's data, Jeppesen Charts, etc.).
6.	Policy, procedures, or instructions and information unclear or incomplete.
7.	Documentation quality (e.g., unreadable or illegible).
8.	Policy, procedures, or instructions and information inconsistent across certificate holder manuals (FOM - Flight Operations Manual to GMM - General Maintenance Manual, etc.).
9.	Policy, procedures, or instructions and information inconsistent across media (e.g., paper, microfiche, electronic).
10.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
11.	Other.

**SAI SECTION 2 - CONTROLS ATTRIBUTE****Objective:**

The questions in this section of the SAI will help determine if controls (i.e. checks and restraints) are designed into the processes associated with this element to ensure policies and procedures are followed to achieve desired results.

**Tasks**

The inspector shall accomplish the following tasks:

- 1 Review the policies, procedures, instructions, and information to understand the controls associated with this element.

**Questions**

2.1	Are controls in place to ensure records accurately show the status of compliance with applicable airworthiness directives (AD) for aircraft, aircraft engines, appliances, and if applicable propellers?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.2	Are controls in place to ensure aircraft, aircraft engines, appliances, and if applicable propellers are in compliance with applicable Airworthiness Directives (AD)?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.3	Are controls in place to ensure the operator's records show the current status of applicable airworthiness directives, including the date and methods of compliance, and, if the airworthiness directive involves recurring action, the time and date when the next action is required?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.4	Are controls in place to ensure actions are performed as specified in the airworthiness directive, regardless of who did the work?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.5	Are controls in place to ensure if an individual product has changed, in a way that affected the ability to accomplish the actions required by an AD, the operator obtained an approved alternate method of compliance?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.6	Are controls in place to ensure if an alternate method of compliance was granted, was it done with the principal inspector's full knowledge?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

2.7	<p>Are controls in place to ensure the operator obtained Aircraft Certification Office (ACO) approval for a change in compliance time, if the aircraft is operated differently than AD limitation requirements?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.8	<p>Is there a control in place that requires the operator to confirm receipt of emergency AD's?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.9	<p>Are controls in place to ensure the operator's records show that all requirements for the issuance of an airworthiness release under 14 CFR part 121.709 have been met?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.10	<p>Are controls in place to ensure the operator retains the records for the issuance of an airworthiness release until the work is repeated or superseded by other work or for one year after the work is performed?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.11	<p>Are controls in place to ensure the operator records show the total time in service of the airframe, engines and if applicable propellers?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.12	<p>Are controls in place to ensure the operator's records show the current status of life-limited parts of each airframe, engine, appliance, and if applicable propeller?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.13	<p>Are controls in place to ensure the operator's records show the time since last overhaul of all items installed on the aircraft which are required to be overhauled on a specified time basis?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.14	<p>Are controls in place to ensure the operator retains records of the time since the last overhaul until the work is superseded by work of equivalent scope and detail?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.15	<p>Are controls in place to ensure the operator's records show the current inspection status of its aircraft and appliances, including the times since the last inspection?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	
2.16	Are controls in place to ensure the operator's records show a list of current major alterations to each airframe, engine, appliance, and if applicable propeller?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.17	Are controls in place to ensure the operator makes available all records required by 14 CFR part 121.380 for inspection by the Administrator or authorized representative of the NTSB?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

**SAI SECTION 2 - CONTROLS ATTRIBUTE**  
**Drop-Down Menu**

1.	No controls specified.
2.	Documentation for the controls do not identify who, what, when, where, how.
3.	Controls incomplete.
4.	Controls could be circumvented.
5.	Controls could be unenforceable.
6.	Resource requirements incomplete (personnel, facilities, equipment, technical data).
7.	Other.

### SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE

**Objective:**

Process measurements ensure the operator uses an internal evaluation function to detect, identify, and eliminate or control hazards and the associated risk. For airworthiness elements this is a required function of operator's Continuing Analysis and Surveillance System (CASS), required by 14 CFR part 121.373. The director of safety and the quality assurance department often work together to accomplish this function for the operator. Negative findings could require amendments to the safety/internal evaluation program or CASS audit forms or checklists.

**Tasks**

	The inspector shall accomplish the following tasks:
1	Review the control questions in Section 2 of this SAI.
2	Review the operator's policies, procedures, instructions, and information to gain an understanding of the process measurements accomplished for this element.

**Questions**

3.1	<p>Are there process measurements that evaluate whether the operator's policies, procedures, and controls are achieving the desired results?</p> <p><b>Note(s):</b>  <i>Inspectors should refer to the controls in section 2 of this SAI for possible process measurements for this element.</i></p> <p><i>Persons engaged in this process should have a method for identifying undesired results.</i></p> <p>Updated: Rev # 3 on 09/15/2009            SRRs: 121.373            Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.2	<p>Do the operator's process measurements assess the performance of the processes associated with this element?</p> <p><b>Note(s):</b>  <i>Verify audits exist to measure this elements performance.</i></p> <p><i>Verify audits are scheduled for this element.</i></p> <p><i>Verify audits ensure everyone, including all outsource providers, comply with the operator's program, manual and all applicable regulations and statutes.</i></p> <p>Updated: Rev # 3 on 09/15/2009            SRRs: 121.373            Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.3	<p>Does the operator's program require the documentation of process measurement results?</p> <p>Updated: Rev # 3 on 09/15/2009            Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

3.4	Does the operator's program describe how the process measurement results are used to improve the ability to achieve the desired results?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.5	Does the organization that conducts the process measurements have direct access to the person with responsibility for this element?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 3 - PROCESS MEASUREMENT ATTRIBUTE Drop-Down Menu	
1.	No process measurements specified.
2.	Documentation for the process measurements does not identify (who, what, when, where, how).
3.	Inability to identify negative findings.
4.	No provisions for implementing corrective actions.
5.	Ineffective follow-up to determine effectiveness of corrective actions.
6.	Resources requirements (personnel, facilities, equipment, technical data).
7.	Other.

<b>SAI SECTION 4 - INTERFACES ATTRIBUTE</b>
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**Objective:**

Data collected in this section helps determine if the operator manages the interfaces (i.e. interactions) associated with this element. Interfaces occur in a procedure where the responsibility for accomplishing work is transferred from one person, work group, or organization to another. Procedures must be detailed enough to ensure the smooth transfer of work and information.

<b>Tasks</b>
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	The inspector shall accomplish the following task:
1	Review interfaces associated with the processes for this element.

<b>Questions</b>
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4.1	Where interfaces exist in this element, are the procedures written in enough detail to preclude a breakdown or discontinuity in the activity?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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<b>SAI SECTION 4 - INTERFACES ATTRIBUTE</b>
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<b>Drop-Down Menu</b>
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1.	No interfaces specified.
2.	The following interfaces not identified within the certificate holder's manual system:
3.	Interfaces listed are inaccurate.
4.	Specific location of interfaces not identified within the manual system.
5.	Other

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE	
<b>Objective:</b> Data from questions in this section will help the determine if there is an identifiable, qualified (when required by CFR), and knowledgeable person who is: <ul style="list-style-type: none"> <li>• Responsible for the process,</li> <li>• Answerable for the quality of the process, and</li> <li>• Has the authority to establish and modify the process.</li> </ul>	
<b>Tasks</b>	
	The inspector shall accomplish the following tasks:
1	Identify the person(s) who has overall responsibility for this element.
2	Identify the person(s) who has the authority to revise the procedures associated with this element.
3	Review the duties and responsibilities of the above person(s).
4	Review the appropriate organizational chart.

Questions		
5.1	Is an individual(s) identified who is responsible for the quality of the procedures associated with this element?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.2	Is an individual(s) identified who has the authority to establish and modify the policies, procedures, instructions, and information associated with this element?  Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.3	Are duties and responsibilities documented for those who manage the procedures associated with this element?  Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(b)(2) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.4	Does the operator document the procedures for delegation of authority for this element?  Updated: Rev # 3 on 09/15/2009 SRRs: 121.135(a)(1) Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

SAI SECTION 5 - MANAGEMENT RESPONSIBILITY & AUTHORITY ATTRIBUTE Drop-Down Menu	
1.	Not documented.

2.	Documentation unclear.
3.	Documentation incomplete.
4.	Other.